

## Memorandum

*Making Conservation  
a California Way of Life.*

**To:** DEPUTY DIRECTORS  
DISTRICT DIRECTORS  
DEPUTY DISTRICT DIRECTORS  
DIVISION CHIEFS

**Date:** January 29, 2018

**File:**

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**Subject: INTERIM SHOPP PROJECT INITIATION REPORT PROJECT INITIATION  
DOCUMENT**

Effective January 29, 2018, the California Department of Transportation (Caltrans) will use the attached interim State Highway Operations and Protection Program (SHOPP) Project Initiation Report (PIR) Project Initiation Document (PID) guidance and template (Attachments 1 and 2). This interim SHOPP PIR guidance supersedes the PIR guidance memo dated June 23, 2017, and remains in effect until the Project Development Procedures Manual (PDPM) is updated.

The development of the revised interim SHOPP PIR guidance and template is a multi-divisional and district effort lead by the Division of Transportation Planning (DOTP). DOTP is also coordinating with the Division of Design to include the SHOPP PIR Guidance in the PDPM. Upon completion of the PDPM updates, a final guidance memorandum will be issued.

With Senate Bill 1 (SB 1), SHOPP funding has increased from \$2.3 billion to approximately \$4.2 billion with additional increases each year requiring the need to produce quality PIDs more quickly. Based on the May 17, 2017, CTC SHOPP Guidance, the PIR guidance and template have been revised to capture the following minimum PID requirements:

A realistic estimate for Project Approval and Environmental Document (PA&ED) support costs.

- A reliable range for support cost estimates of future phases (Plans Specifications and Estimates (PS&E), Right of Way (R/W) and Construction).
- A reliable range for capital cost estimates of future phases (R/W and Construction).
- A reliable estimated schedule for begin date of future Support Phases (PA&ED, PS&E, R/W and Construction).

In addition, the PIR guidance has been revised to optimize the following PID processes to reduce the amount of effort and time needed during PID development. Improvements to the PIR include:

- A Division of Engineering Services Structure PIR Cost Estimate during the PID phase with the understanding that a detailed Advance Planning Study may be needed during PA&ED (Attachment 3).
- A PIR R/W Conceptual Cost Estimate and Request Form will be completed during the PID phase with the understanding that a detailed R/W Data Sheet will be needed during PA&ED (Attachment 4).
- A PIR Storm Water documentation process during the PID phase that addresses specific information in the Long Form Storm Water Data Report with the understanding that the remaining information will be completed during PA&ED (Attachment 5).
- A process to defer the Design Exception Fact Sheet to the PA&ED phase with concurrence by the approving authority, District Deputy of Design and/or the HQ Project Delivery Coordinator (PIR Guidance–Attachment 1 Page 13).
- A Mini-Preliminary Environmental Analysis Report (PEAR) for all Level 1 and 2 PIRs (refer to Division of Environmental Analysis on the Mini-PEAR located at: <http://www.dot.ca.gov/ser/pear.htm>).
- A risk-based estimate that is based on identified risks with a significant probability and impact, which can potentially have a positive or negative impact to the project scope, schedule and/or cost. For additional details refer to the Division of Project Management guidance on Project Risk Management located at: (<https://projmgmt.onramp.dot.ca.gov/statewide-project-management-improvement-spmi/risk-management>).

With SB 1, there is an increased need to monitor the status of PID development. Beginning with the 2020 PID workload, headquarters DOTP will enter into a Contract for Delivery with each district. To monitor PID development, the districts are required to input the following PID milestones in Project Resource and Schedule Management (PRSM). This is similar to what Project Management uses for monitoring delivery on capital projects.

- F011–Purpose & Need Defined: The Purpose and Need identified, reviewed and refined by the Project Team.
- F012–Scope, Limits and Alternatives Defined: A range of alternatives identified, reviewed, refined, and documented by the Project Team.

- F013–Draft PID and Cost Estimate Completed: A draft PID, capital cost estimate and attachments are ready to circulate for input and development of the bottoms-up work plan by the project team and constructability review.

These milestones are currently in the process of being included in the Workplan Standard Guide. In the meantime, districts are required to include these milestones in PRSM workplans. Headquarters Project Management has developed the attached job aid to assist the districts with inputting PID milestones in PRSM (Attachment 6).

The attached interim SHOPP PIR guidance, template and attachments are located on the Office of Program and Project Planning (OPPP) website located at:  
<https://transplanning.onramp.dot.ca.gov/shopp-project-initiation-report-pir-guidance>.

Outreach and training webinars were provided in November and December 2017. Training will be provided at each of the districts during the months of January 2018 through March 2018.

Direct all questions regarding this guidance to Annette Clark, Chief, Office of Program and Project Planning at (916) 653-9072.

Attachments:

- (1) PIR Guidance
- (2) PIR Template
- (3) Division of Engineering Services Structure PIR Cost Estimate Guidance
- (4) PIR Right of Way Conceptual Cost Estimate
- (5) PIR Storm Water Documentation Process
- (6) PRSM PID Milestones Job Aid